State of Washington
Department of Corrections

Human Resource Management Report

Plan & Align Workforce

Hire Workforce

Deploy Workforce

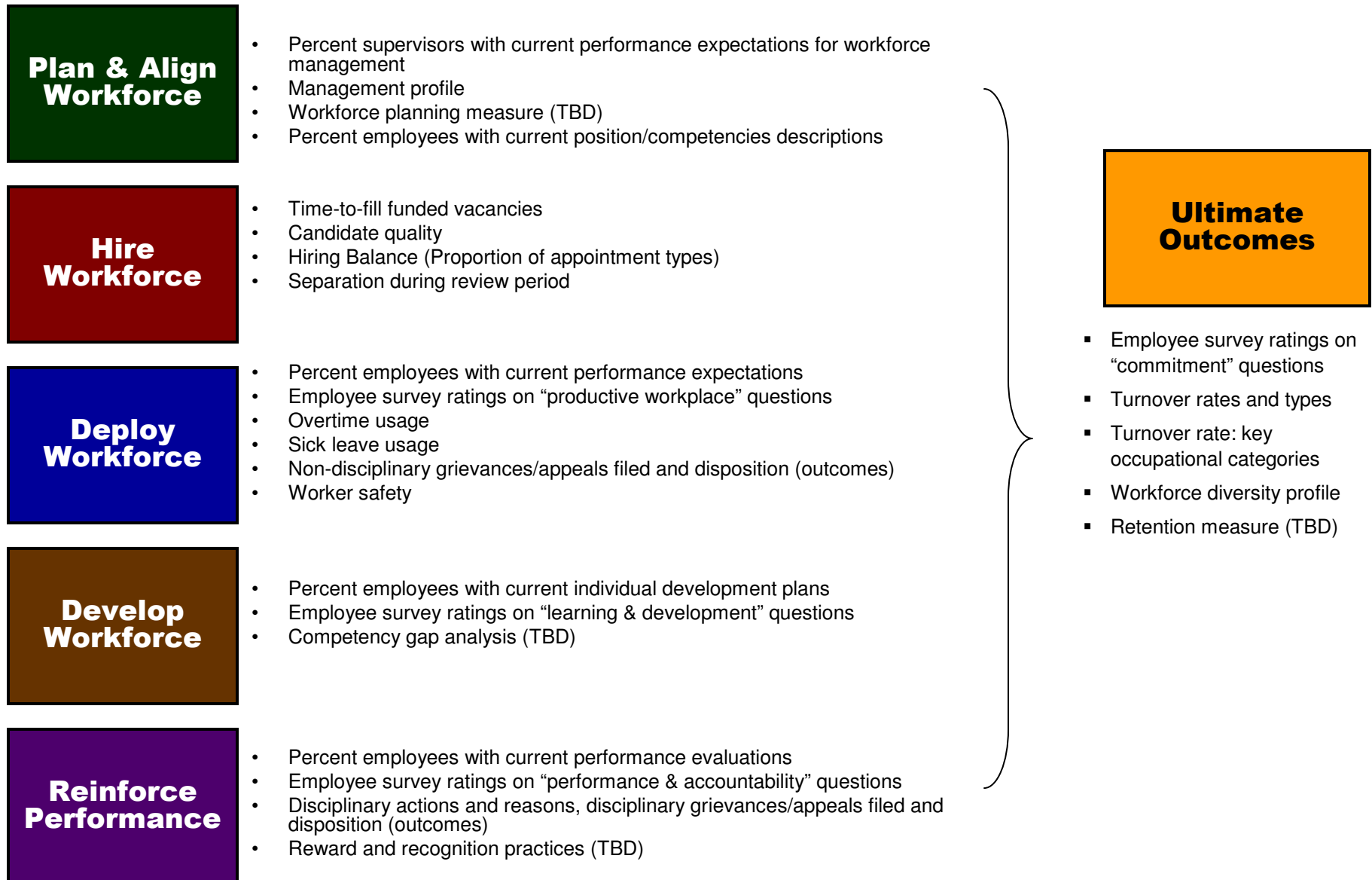Reinforce Performance

Develop Workforce
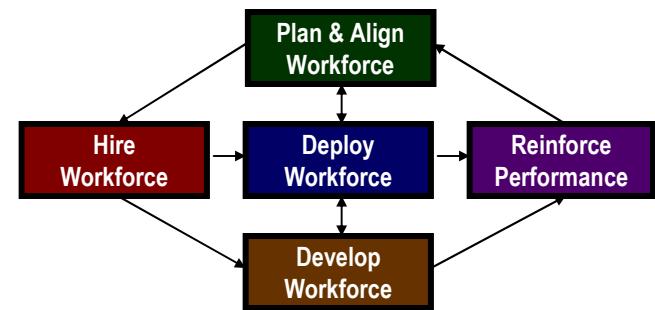
October 2007 – (10/15)

[Note: This is the standard format provided by DOP as of 8/21/07. Agencies may customize or supplement this format to meet unique needs, as long as the minimum information shown in this format is included.]

Managers' Logic Model for Workforce Management

	Outputs	Initial Outcomes	Intermediate Outcomes	
Plan & Align Workforce	Articulation of managers HRM accountabilities. HR policies. Workforce planning. Job classes & salaries assigned.	Managers understand HRM accountabilities. Jobs, staffing levels, & competencies aligned with agency priorities.	Foundation is in place to build and sustain a productive, high performing workforce.	
Hire Workforce	Qualified candidate pools, interviews & reference checks. Job offers. Appts & performance monitoring.	Best candidate hired & reviewed during appointment period. Successful performers retained.	The right people are in the right job at the right time.	**Ultimate Outcomes**
Deploy Workforce	Work assignments & requirements defined. Positive workplace environment created. Coaching, feedback, corrections.	Workplace is safe, gives capacity to perform, & fosters productive relations. Staff know job rqmts, how they're doing, & are supported.	Time & talent is used effectively. Employees are motivated & productive.	**Employees are committed to the work they do & the goals of the organization** **Productive, successful employees are retained** **State has workforce depth & breadth needed for present and future success**
Develop Workforce	Individual development plans. Time/ resources for training. Continuous learning environment created.	Learning environment created. Employees are engaged in development opportunities & seek to learn.	Employees have competencies for present job & career advancement	**Agencies are better enabled to successfully carry out their mission. The citizens receive efficient government services.**
Reinforce Performance	Clear performance expectations linked to orgn'al goals & measures. Regular performance appraisals. Recognition. Discipline.	Employees know how performance contributes to success of orgn. Strong performance rewarded; poor performance eliminated	Successful perf is differentiated & strengthened. Employees are held accountable.	

Standard Performance Measures

Plan & Align Workforce

- Percent supervisors with current performance expectations for workforce management
- Management profile
- Workforce planning measure (TBD)
- Percent employees with current position/competencies descriptions

Hire Workforce

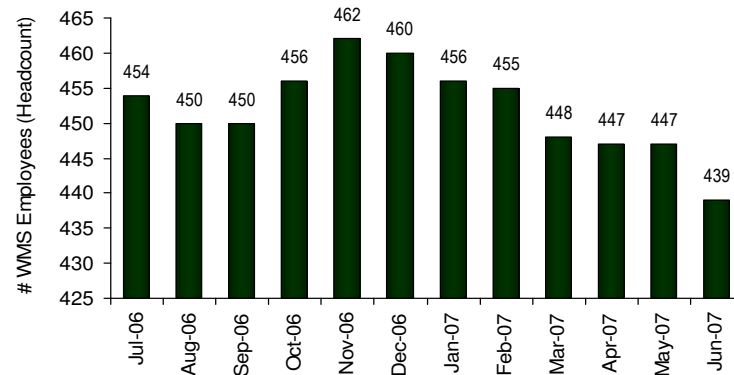- Time-to-fill funded vacancies
- Candidate quality
- Hiring Balance (Proportion of appointment types)
- Separation during review period

Deploy Workforce

- Percent employees with current performance expectations
- Employee survey ratings on "productive workplace" questions
- Overtime usage
- Sick leave usage
- Non-disciplinary grievances/appeals filed and disposition (outcomes)
- Worker safety

Develop Workforce

- Percent employees with current individual development plans
- Employee survey ratings on "learning & development" questions
- Competency gap analysis (TBD)

Reinforce Performance

- Percent employees with current performance evaluations
- Employee survey ratings on "performance & accountability" questions
- Disciplinary actions and reasons, disciplinary grievances/appeals filed and disposition (outcomes)
- Reward and recognition practices (TBD)

Ultimate Outcomes

- Employee survey ratings on "commitment" questions
- Turnover rates and types
- Turnover rate: key occupational categories
- Workforce diversity profile
- Retention measure (TBD)

Plan & Align Workforce

Outcomes:

Managers understand workforce management accountabilities. Jobs and competencies are defined and aligned with business priorities. Overall foundation is in place to build & sustain a high performing workforce.

Performance Measures:

Percent supervisors with current performance expectations for workforce management

Management profile

Workforce Planning measure (TBD)

Percent employees with current position/ competency descriptions

Workforce Management Expectations

Percent supervisors with current performance expectations for workforce management = 100%*

Total # of supervisors with current performance expectations for workforce management = **1450**

Total # of supervisors = **1450**

- DOC completed this goal by developing the Core Competencies for all employees, with specific competencies identified for supervisors and managers, which included *People Management and Managing for Results.*

- Expectations were provided to all DOC appointing authorities and supervisors by Secretary Clarke.

Data as of December 31, 2006
Source: HRMS BW

Management Profile

Plan & Align Workforce

Outcomes:

Managers understand workforce management accountabilities. Jobs and competencies are defined and aligned with business priorities. Overall foundation is in place to build & sustain a high performing workforce.

Performance Measures:

Percent supervisors with current performance expectations for workforce management

Management profile

Workforce Planning measure (TBD)

Percent employees with current position/competency descriptions

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WMS Employees Headcount = 439

Percent of agency workforce that is WMS = 5.5%

Managers* Headcount = 469

Percent of agency workforce that is Managers* = 5.8%

* In positions coded as "Manager" (includes EMS, WMS, and GS)

Washington Management Service Headcount Trend

Month	# WMS Employees (Headcount)
Jul-06	454
Aug-06	450
Sep-06	450
Oct-06	456
Nov-06	462
Dec-06	460
Jan-07	456
Feb-07	455
Mar-07	448
Apr-07	447
May-07	447
Jun-07	439

WMS Management Type

Management 87%
Consultant 17%
Policy 6%
Not assigned 2%
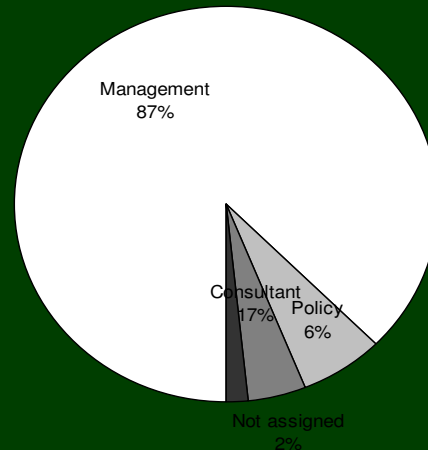
Management	329
Consultant	24
Policy	17
Not Assigned	6

Analysis:

- DOC's mid-management reduction target is 5.6% of the agency workforce. We are currently at 5.5%, which is slightly below the targeted goal.

- 255 WMS employees consist of Lieutenants (83), Captains (16), Correctional Unit Supervisors (67), Community Corrections Supervisors (39).

- Hiring freeze was an attributing factor to the percentage being below the targeted goal.

Action Steps:

- Updating WMS policy and procedures manual regarding appointments and salary by December, 2007.
- DOC is implementing a procedure between budget and Human Resources to closely monitor the creation of new WMS positions to ensure target goals are met.

Data as of June 30, 2007
Source: HRMS BW

Plan & Align Workforce

Current Position/Competency Descriptions

Outcomes:

Managers understand workforce management accountabilities. Jobs and competencies are defined and aligned with business priorities. Overall foundation is in place to build & sustain a high performing workforce.

Performance Measures:

Percent supervisors with current performance expectations for workforce management

Management profile

Workforce Planning measure (TBD)

Percent employees with current position/ competency descriptions

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Percent employees with current position/competency descriptions = 99%*

Total # of employees with current position/competency descriptions* = **7994**

Total # of employees* = **8031**

*Applies to employees in permanent positions, both WMS & GS

Analysis:

- Core competencies were announced/included on generic position descriptions and forms for specified job classes.

- Documents were distributed agency wide and subsequently posted insideDOC for agency use.

  Classes include:

  - Correctional Officer 1, 2 & 3
  - Community Corrections Officer 2 & 3
  - Classification/Correctional Counselor 2 & 3
  - Correctional Records Specialist & Manager
  - Cook AC
  - RN

Action Steps:

- Continue current efforts to meet the 100% goal.

- Keep Appointing Authorities informed by identifying which positions do not have current/updated position descriptions

- Hold Appointing Authorities accountable for timely completion.

- HR will continue to provide necessary assistance to supervisors and employees on completing position descriptions.

Data as of June 30, 2007
Source: HRMS BW / Agency Tracked Data

Hire Workforce

Outcomes:

Best candidates are hired and reviewed during appointment period. The right people are in the right job at the right time.

Performance Measures

Time-to-fill vacancies

Candidate quality

Hiring Balance (proportion of appointment types)

Separation during review period

Time-to-fill / Candidate Quality

Time-to-fill Funded Vacancies

Average number of days to fill*:	**91.4**
Number of vacancies filled:	**99**

*Equals # of days from creation of the requisition to job offer acceptance

Time Period: 01/01/2007- 6/30/2007

Candidate Quality

Of the candidates interviewed for vacancies, how many had the competencies (knowledge, skills & abilities) needed to perform the job?

Of the ca~~ndidates~~ ...~~mana~~gers able to hire the b~~est~~ ...

> DOP indicates this HRMS function has produced statewide summary data only.
>
> Due to insufficient data, detail by agency has not been provide through the HRMS tool.

Hiring ...

Hiring ...

Time Period: 01/01/2007- 6/30/2007

Analysis:

- Out of the 99 vacancies filled through E-Recruiting, it took an average of 91.4 days to fill a position. As this includes the posting time for a position and this varies, this time period does not seem unreasonable.

- The Department has spent significant energy on the CO recruitment process, our largest and most active job class. The seven-part process including the online application, panel interview, criminal history background check, reference check, psychological interview/ testing, drug testing, and physical agility test, has been considerably streamlined. The average time it takes to fill a CO position from the date a requisition is requested is 21 days.

- Not all positions are filled through E-Recruiting. Due to the nature of the system, the Department has had to run "shadow" systems to ensure positions are filled timely. Therefore, this data does not represent the total picture of hiring activity.

- Additionally, there is some inconsistency in the use of the Candidate Quality tool.

Action Steps:

- Continue to work with the Department of Personnel and the idiosyncrasies of E-Recruit.

- Work with HR staff to ensure that supervisors are sent the survey after the process is completed regarding candidate quality.

Data as of June 30, 2007
Source: HRMS BW

Hiring Balance / Separations During Review Period

Hire Workforce

Outcomes:

Best candidates are hired and reviewed during appointment period. The right people are in the right job at the right time.

Performance Measures

Time-to-fill vacancies

Candidate quality

Hiring Balance (proportion of appointment types)

Separation during review period

Types of Appointments

Promotions 32%

New Hires 39%

Transfers 20%

Other 4%

Exempt 5%
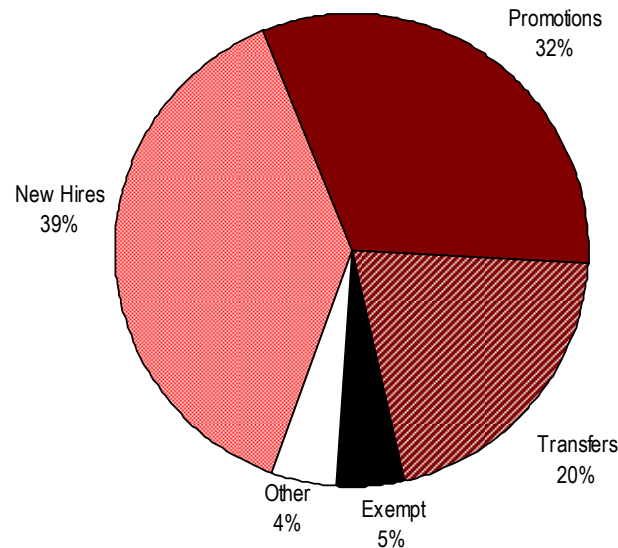
Total number of appointments = 517*
Time period = January 2007 through June 2007
Includes appointments to permanent vacant positions only; excludes reassignments
"Other" = Demotions, re-employment, reversion & RIF appointments

Separation During Review Period

	1st Half FY07	2nd Half FY07
Probationary separations - Voluntary	37	27
Probationary separations – Involuntary	16	8
Total Probationary Separations	*53*	*35*
Trial Service separations - Voluntary	12	15
Trial Service separations - Involuntary	1	2
Total Trial Service Separations	*3*	*17*
Total Separations During Review Period	**66**	**52**

Time period = July 2006 through June 2007

Analysis:

- Overall appointments increased from 408 to 517 between reporting periods (109 overall).

- From to previous to current reporting periods (First half FY07 to second half FY07) the following significant changes occurred:

  - New Hires increased from 66 to 198

  - Promotions decreased from 197 to 166

- Increase represents more entry level new hires, likely attributed to expansion.

Action Steps:

- Recruitment and retention plans target expansion efforts at WSP and CRCC, and also MCC. More time is needed to assess how successful the pay increases are.

- The Recruitment Plan anticipates a regional focus for critical, high volume classifications, to facilitate healthy competition among institutions, especially those that are located within a 60-mile radius of each other.

- Implementation of the recruitment plan began in January, and started with a media blitz that included advertisements on billboards, radio, and busses throughout the state. DOC has requested a supplemental budget for additional funding for recruitment.

- The Department has drafted a retention plan, with the objective to implement in stages beginning July 2007 through December 2007.

- The assessment process for COs was restructured to be more efficient. Efforts are producing greater numbers of candidates

- The Department has requested that CJTC eliminate the Physical Ability Test (PAT).

- Retention focus group was approved; dialogue with superintendents to implement.

Data as of June 30, 2007
Source: HRMS BW

SPECIALIZED EXIT INTERVIEWS

Jul 01, 2006 to Jun 30, 2007

47	16.67%	Accepted other employment. Category includes accepting private sector employment (such as Boeing), and geographic relocations (to another city/state) resulting in separation from state service
42	14.89%	Accepted employment with other jurisdictions (federal, state, county, city etc). Information provided would suggest this is linked to pay
35	12.41%	Accepted employment or transfer to other DOC location
29	10.28%	Personal Reasons/Details not shared
27	9.57%	Probationary separation /Termination/Resignation in lieu of discipline/ Term of non-perm
27	9.57%	Retirement
18	6.38%	Pay/Benefits/Hours of Work/Not Enough
15	5.32%	Disability Separation/Medical issues
10	3.55%	Hours of work/Overtime/Too much
5	1.77%	Poor Leadership/Low morale
5	1.77%	Pursuit of Higher Education
4	1.42%	Death
4	1.42%	Own Business
3	1.06%	Failed Correctional Worker Core
3	1.06%	Didn't like line of work / Job too stressful
2	0.71%	Military duty/Self or family member
2	0.71%	Issues w/ Other Staff
2	0.71%	Illness/ Death / of family member
1	0.35%	Unsafe Work Environment
1	0.35%	Missionary Work
282	%	Total

Analysis:

- 282 special exit interviews were conducted with Correctional Officers during FY07 (Jul 01, 2006 to Jun 30, 2007) reporting period.

- Number of interviews does not reflect the total number of separations, but is reflective of staff who voluntarily shared information with Human Resource Managers.

- Based on the number of interviews conducted during the reporting period, data suggests the top turnover locations for Correctional Officers were MCC, WSP & MICC

- The top 3 reasons for separation represent 44% of the total number of interviews conducted.

- While the top two (generalized) reasons for separation from DOC service include accepting employment with other jurisdictions, accepting employment in the private sector and geographic relocations, additional staff comments/information suggest the common factor (in most cases) was better benefits and/or pay.

- Starting pay with other jurisdictions are alleged to be higher; Boeing alleged to offer more opportunities; geographic relocations occur due to cost of living & expenses.

- Methods for collecting/reporting data was modified & implemented statewide.

- Ongoing data collection has reveals continuing trends.

- Updated/revised the specialized exit interview form for collecting data.

- Created data collection spread sheet for statewide use to include the generalized top reasons for leaving.

Action:

- Continue to gather data until 06/30/08, then we will assess further.

Data as of June 30, 2007
Source: HRMS BW

Deploy Workforce

Current Performance Expectations

Outcomes:

Staff know job expectations, how they're doing, & are supported. Workplace is safe, gives capacity to perform, & fosters productive relations. Employee time and talent is used effectively. Employees are motivated.

Performance Measures

Percent employees with current performance expectations

Employee survey ratings on "productive workplace" questions

Overtime usage

Sick leave usage

Non-disciplinary grievances/appeals filed and disposition (outcomes)

Worker safety

Percent employees with current performance expectations = 75%

*Based on **4487 of 5925** reported employee count

*Applies to employees in permanent positions, both WMS & GS

Analysis:

- The DOC Human Resources (HR) will continue to provide training to all managers/supervisors so they could be prepared to initiate the new PDP process. The PDP process currently requires that supervisors maintain the original PDP in an employee's supervisory file and the original be forwarded to HR once the PDP has been completed.

- DOC's former tracking system was fed by Data Warehouse, which with the implementation of HRMS is no longer available. DOC does not have a current electronic tracking tool to determine when current individual development plans have been initiated.

- Struggling with implementation of HRMS data input fields for Parts 1 & 2 of PDP. This should be resolved by the April HR Management Report.

Action Steps:

- Provide updated and/or additional training to managers/supervisors for the PDP process.

- Database tracking will be introduced to HR Direct Reports (11/2007) as a potential mechanism to track anniversary and PDP due dates, for cascading to the field.

- Policy revision will split Parts 1 & 2 of the PDP form (10/2007). Policy and new processes should be reviewed for implementation by Executive Leadership before December 2007. Policy implementation will help facilitate entry of Parts 1 & 2 of the PDP into HRMS system.

Data as of June 30, 2007
Source: HRMS BW / Agency Tracked Data

Deploy Workforce

Outcomes:

Staff know job expectations, how they're doing, & are supported. Workplace is safe, gives capacity to perform, & fosters productive relations. Employee time and talent is used effectively. Employees are motivated.

Performance Measures

Percent employees with current performance expectations

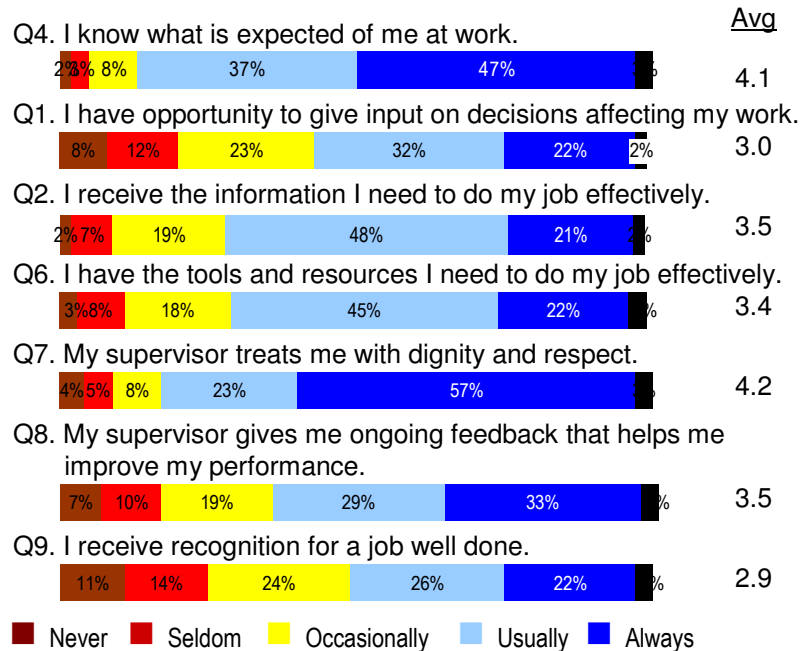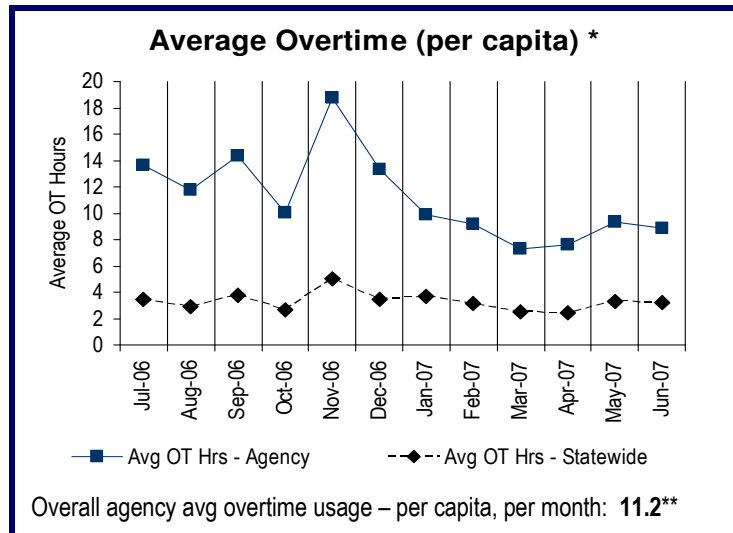**Employee survey ratings on "productive workplace" questions**

Overtime usage

Sick leave usage

Non-disciplinary grievances/appeals filed and disposition (outcomes)

Worker safety

Employee Survey "Productive Workplace" Ratings

Avg

Q4. I know what is expected of me at work.
2% 3% 8% | 37% | 47% | 4.1

Q1. I have opportunity to give input on decisions affecting my work.
8% | 12% | 23% | 32% | 22% | 2% — 3.0

Q2. I receive the information I need to do my job effectively.
2% 7% | 19% | 48% | 21% | 2% — 3.5

Q6. I have the tools and resources I need to do my job effectively.
3% 8% | 18% | 45% | 22% — 3.4

Q7. My supervisor treats me with dignity and respect.
4% 5% 8% | 23% | 57% — 4.2

Q8. My supervisor gives me ongoing feedback that helps me improve my performance.
7% | 10% | 19% | 29% | 33% — 3.5

Q9. I receive recognition for a job well done.
11% | 14% | 24% | 26% | 22% — 2.9

■ Never ■ Seldom ■ Occasionally ■ Usually ■ Always

Overall average score for Productive Workplace Ratings: 3.5

Analysis:

- Leadership has participated in numerous communication forums with all levels of staff across the state to increase opportunities for dialogue, input, and shared information.

- DOC continues to recognize staff for great work in a variety of quarterly and annual events across the state.

- DOC is updating its employee training program and is adding supervisory and leadership training programs.

Action Steps:

- Participate in the DOP 2007 Employee Satisfaction Survey to measure progress as an agency.

- Continue to conduct dialogue forums across the state.

- Begin piloting new supervisory and leadership training by January 2008.

Data as of December 31, 2006
Source: DOP Survey

Deploy Workforce

Overtime Usage

Outcomes:

Staff know job expectations, how they're doing, & are supported. Workplace is safe, gives capacity to perform, & fosters productive relations. Employee time and talent is used effectively. Employees are motivated.

Performance Measures

Percent employees with current performance expectations

Employee survey ratings on "productive workplace" questions

Overtime usage

Sick leave usage

Non-disciplinary grievances/appeals filed and disposition (outcomes)

Worker safety

Average Overtime (per capita) *

Avg OT Hrs - Agency   Avg OT Hrs - Statewide

Overall agency avg overtime usage – per capita, per month: **11.2****

*Statewide overtime values do not include DNR
**Overall agency avg overtime usage – per capita, per month = sum of monthly OT averages divided by number of months
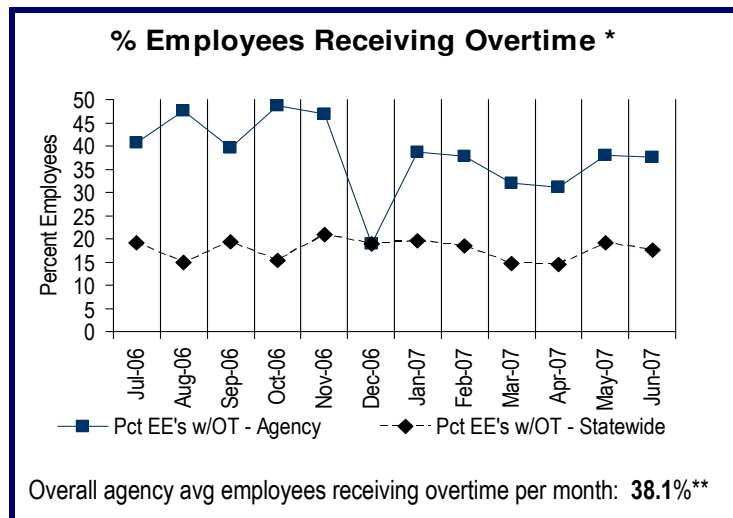
% Employees Receiving Overtime *

Pct EE's w/OT - Agency   Pct EE's w/OT - Statewide

Overall agency avg employees receiving overtime per month: **38.1%****

*Statewide overtime values do not include DNR
**Overall agency avg employees receiving overtime per month = sum of monthly OT percentages divided by number of months

Overtime Cost - Agency

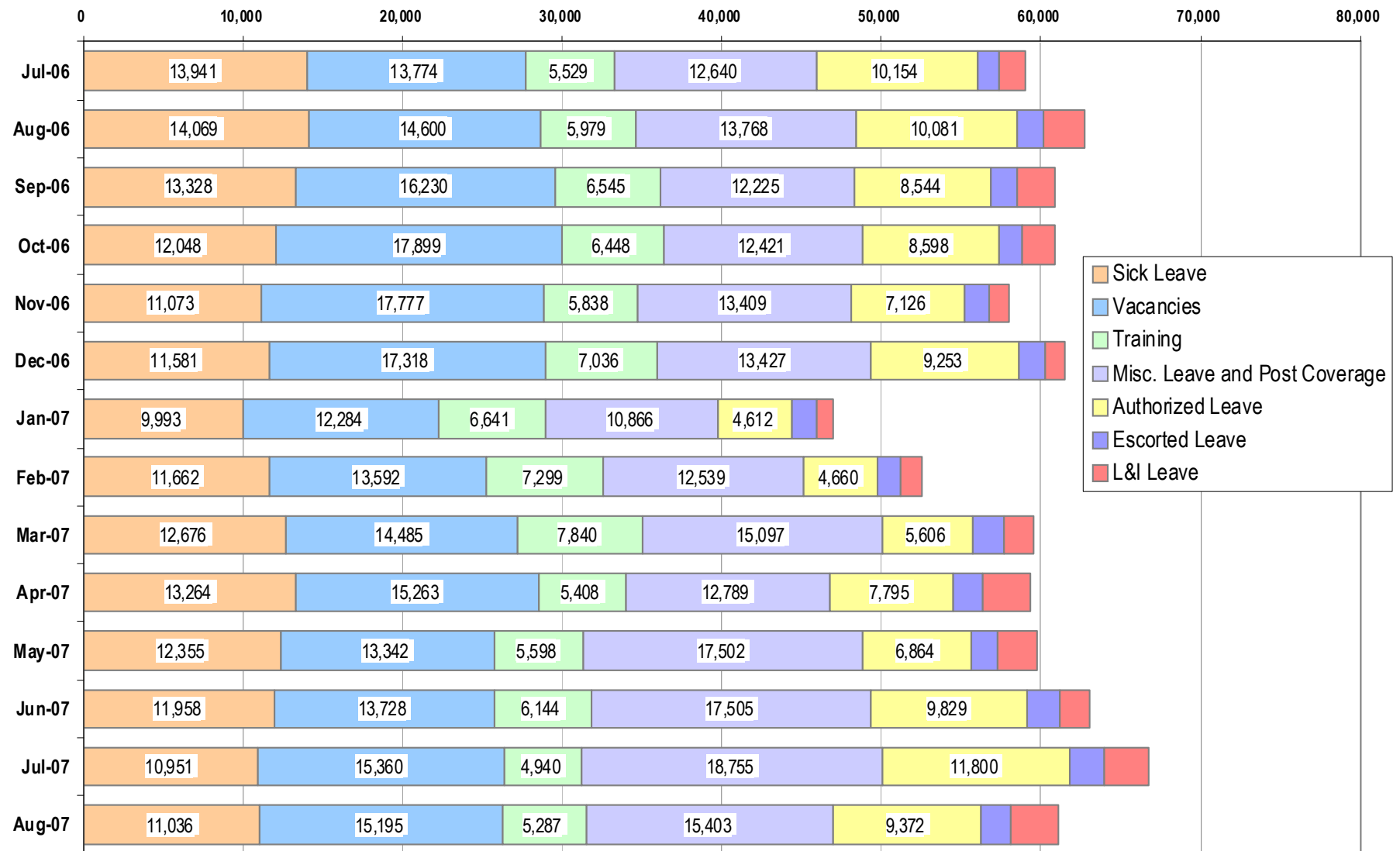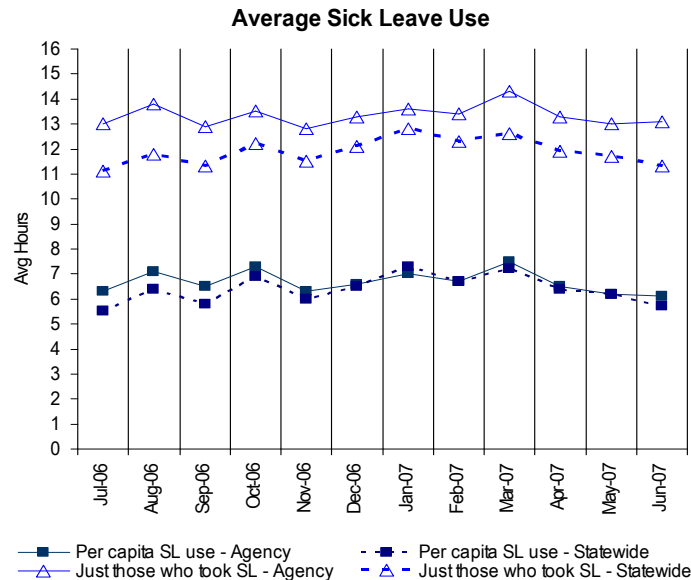| Month	Cost
Jun-07	$2,109,152
May-07	$2,087,799
Apr-07	$1,753,767
Mar-07	$1,611,950
Feb-07	$2,270,278
Jan-07	$2,161,328
Dec-06	$2,172,594
Nov-06	$3,021,478
Oct-06	$1,656,744
Sep-06	$2,374,616
Aug-06	$1,850,798
Jul-06	$2,127,083
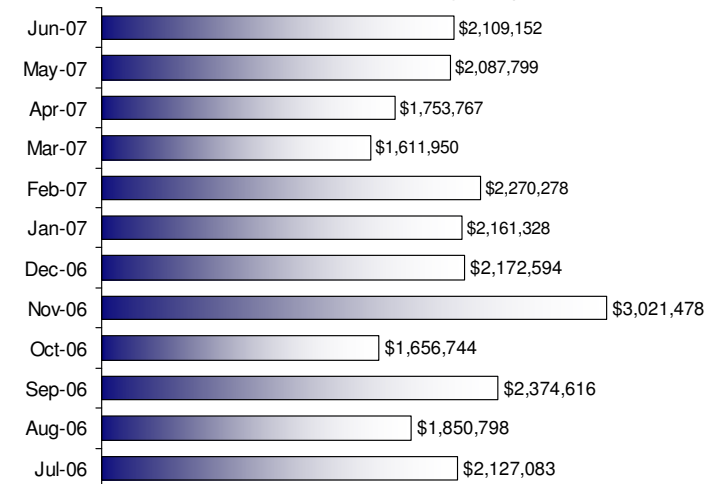
Analysis:

- Overtime is an issue at the major institutions; the top three are MCC, WSP, and WCC.

- Major reason for overtime use is vacancy rates.

- Overtime increases as S/L increases due to 24 hour operations of facilities.

Action Steps:

- The Department has initiated a recruitment initiative, which includes partnering with other state agencies and reaching out to communities to expand correctional staff candidate pool.

- Appointing Authorities will develop a plan specific to his/her institution to reduce overtime.

- DOC has conducted several GMAP's on overtime and continues to be challenged in reducing overtime.

- Assuming we can reduce the custody vacancy rate by .5% (7% to 6.5% vacancy rate) this should reduce overtime hours per capita by 1%.

Data as of June 30, 2007
Source: HRMS BW

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All DOC Prison Facilities

Custody Overtime Report - excluding holiday overtime

Month	Sick Leave	Vacancies	Training	Misc. Leave and Post Coverage	Authorized Leave
Jul-06	13,941	13,774	5,529	12,640	10,154
Aug-06	14,069	14,600	5,979	13,768	10,081
Sep-06	13,328	16,230	6,545	12,225	8,544
Oct-06	12,048	17,899	6,448	12,421	8,598
Nov-06	11,073	17,777	5,838	13,409	7,126
Dec-06	11,581	17,318	7,036	13,427	9,253
Jan-07	9,993	12,284	6,641	10,866	4,612
Feb-07	11,662	13,592	7,299	12,539	4,660
Mar-07	12,676	14,485	7,840	15,097	5,606
Apr-07	13,264	15,263	5,408	12,789	7,795
May-07	12,355	13,342	5,598	17,502	6,864
Jun-07	11,958	13,728	6,144	17,505	9,829
Jul-07	10,951	15,360	4,940	18,755	11,800
Aug-07	11,036	15,195	5,287	15,403	9,372

Legend: Sick Leave, Vacancies, Training, Misc. Leave and Post Coverage, Authorized Leave, Escorted Leave, L&I Leave

*Statewide overtime values do not include DNR

Data as of August 30, 2007
Source: HRMS BW / Agency Tracked Data

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Deploy Workforce

Outcomes:

Staff know job expectations, how they're doing, & are supported. Workplace is safe, gives capacity to perform, & fosters productive relations. Employee time and talent is used effectively. Employees are motivated.

Performance Measures

Percent employees with current performance expectations

Employee survey ratings on "productive workplace" questions

Overtime usage

Sick leave usage

Non-disciplinary grievances/appeals filed and disposition (outcomes)

Worker safety

Sick Leave Usage

Average Sick Leave Use

- Per capita SL use - Agency
- Per capita SL use - Statewide
- Just those who took SL - Agency
- Just those who took SL - Statewide

Sick Leave Hrs Used / Earned (per capita)

Avg Hrs SL Used (per capita) - Agency	% of SL Hrs Earned (per capita) - Agency
6.7 Hrs	**85**%
Avg Hrs SL Used (per capita) – Statewide*	% of SL Hrs Earned (per capita) – Statewide*
6.4 Hrs	82.5%

Sick Leave Hrs Used / Earned (those who took SL)

Avg Hrs SL Used (those who took SL) - Agency	% SL Hrs Earned (those who took SL) - Agency
13.3 Hrs	**166.6**%
Avg Hrs SL Used (those who took SL) – Statewide*	% SL Hrs Earned (those who took SL) – Statewide*
11.9 Hrs	148.4%

Sick Leave time period = 07/01/2006 – 06/30/2007
* Statewide data does not include DOL, DOR, L&I, and LCB

Analysis:

- Trend and per capita use of sick leave is close to state average.

- It is anticipated that implementation of a recruitment and retention plan will contribute to decreasing sick leave use, as vacancy rates will be reduced and turnover minimized.

- Data reveals 12 classifications utilizing the greatest amount of sick leave. Top nine classifications are consistently the same from month to month. Although the order varies by month relative to the ranking usage by classification, the classifications include: Correctional Officer 2 , Correctional Sergeant, Comm. Corr. Officer 2, Comm Corr. Officer 3, Office Assistant 3, WMS Band 1, WMS Band 2, Cook AC, and Registered Nurse 2.

- Assuming we can reduce the custody vacancy rate by .5% (7% to 6.5% vacancy rate) this should reduce overtime hours per capita by 1%, which should then reduce sick leave per capita by .5%. Thereby, staff are not exhausted with all of the overtime they are required to do. This target would be by June 30, 2008 (looking at a fiscal year average over the entire 12 months). This also assumes that the salary increases will make a difference on July 1, 2007 and that our recruitment efforts will continue at least at their current levels or even be increased.

- This target would be by June 30, 2008 (looking at a fiscal year average over the entire 12 months). This also assumes that the salary increases will make a difference on July 1 and that our recruitment efforts will continue at least at their current levels or even be increased.

Action Steps:

- With the increasing age of our workforce there is a reasonable assumption of increased sick leave use. The Department will analyze the sick leave usage for the classifications for the top nine classification who use sick leave.

- The Deputy Directors and Health Service Administrator will develop a plan to respond to this information.

Data as of June 30, 2007
Source: HRMS BW

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Non-Disciplinary Grievances (represented employees)

Deploy Workforce

Outcomes:

Staff know job expectations, how they're doing, & are supported. Workplace is safe, gives capacity to perform, & fosters productive relations. Employee time and talent is used effectively. Employees are motivated.

Performance Measures

Percent employees with current performance expectations

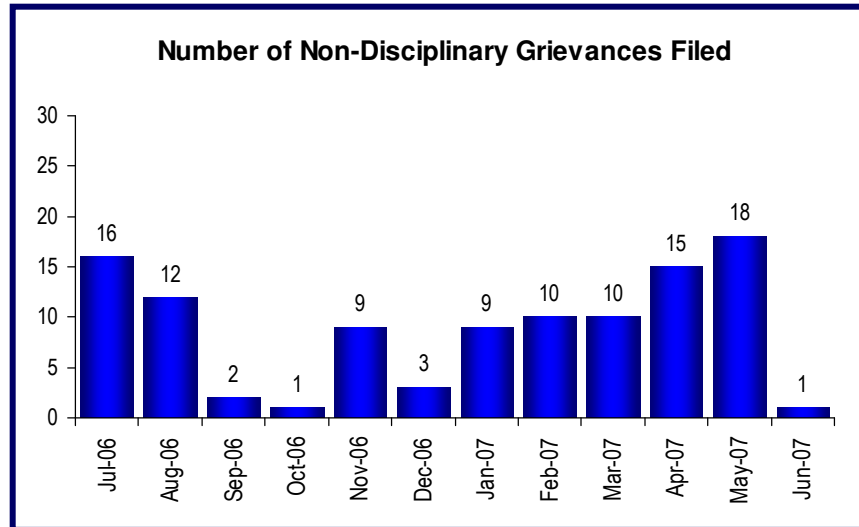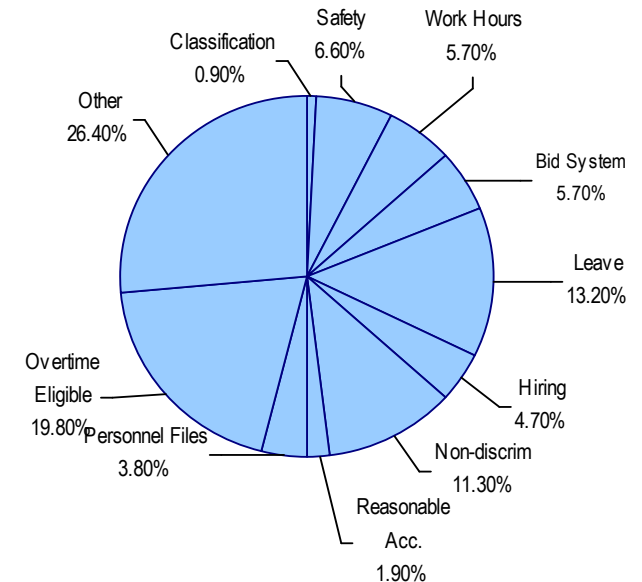Employee survey ratings on "productive workplace" questions

Overtime usage

Sick leave usage

Non-disciplinary grievances/appeals filed and disposition (outcomes)

Worker safety

Number of Non-Disciplinary Grievances Filed

Month	Count
Jul-06	16
Aug-06	12
Sep-06	2
Oct-06	1
Nov-06	9
Dec-06	3
Jan-07	9
Feb-07	10
Mar-07	10
Apr-07	15
May-07	18
Jun-07	1

Total Non-Disciplinary Grievances = 106

Type of Non-Disciplinary Grievances

- Classification 0.90%
- Safety 6.60%
- Work Hours 5.70%
- Other 26.40%
- Bid System 5.70%
- Leave 13.20%
- Overtime Eligible 19.80%
- Personnel Files 3.80%
- Hiring 4.70%
- Non-discrim 11.30%
- Reasonable Acc. 1.90%

Non-Disciplinary Grievance Disposition*
(Outcomes determined during FY 2007)

- Withdrawn………………... 32
- Upheld……………………. 7
- Settled……………………. 65
- Overturned………………… 2
- Dismissed…………………. 1

* There may not be a one-to-one correlation between the number of grievances filed (shown top of page) and the outcomes determined during this time period. The time lag between filing date and when a decision is rendered can cross the time periods indicated.

Data as of June 30, 2007
Source: HRMS BW & Agency Tracked Data

Analysis:

- The total number of non-disciplinary grievances filed during second half of FY07 (63) is 43% greater than the first half of FY07 (43). There was a total of 121 non-disciplinary grievances filed in FY07.

- Of the 121 non-disciplinary grievances filed during FY07, 27 originated at AHCC (representing 22.3% of total). Other concentrations of non-disciplinary grievance filings can be noted at NW CCD (16), WC CCD (12) and MCC (11).

- Categories representing the highest number of filings include Overtime (20), Bid-System (11), Non-Discrimination (11), and Discipline (10). These top categories (4 of 30) represent 42% of total number of filings for the reporting period.

Action Steps:

- Ensure consistent implementation of settlement agreements and record grievances from next reporting period, analyzing differences and content by location.

15

Deploy Workforce

Outcomes:

Staff know job expectations, how they're doing, & are supported. Workplace is safe, gives capacity to perform, & fosters productive relations. Employee time and talent is used effectively. Employees are motivated.

Performance Measures

Percent employees with current performance expectations

Employee survey ratings on "productive workplace" questions

Overtime usage

Sick leave usage

Non-disciplinary grievances/appeals filed and disposition (outcomes)

Worker safety

Non-Disciplinary Appeals (mostly non-represented employees)

Filings for DOP Director's Review

Time Period = July 2006 through June 2007

7 Job classification

0 Rule violation

0 Name removal from register

0 Rejection of job application

0 Remedial action

7 Total filings

Filings with Personnel Resources Board

Time Period = July 2006 through June 2007

2 Job classification

0 Other exceptions to Director Review

0 Layoff

0 Disability separation

0 Non-disciplinary separation

2 Total filings

Non-Disciplinary appeals only are shown above.

There is no one-to-one correlation between the filings shown above and the outcomes displayed in the charts below. The time lag between filing date and when a decision is rendered can cross the time periods indicated.
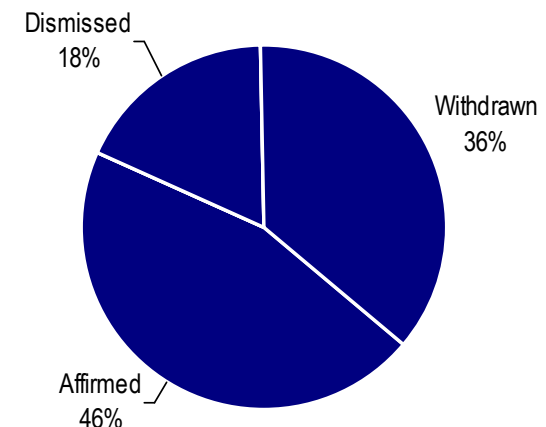
Director's Review Outcomes

Affirmed 94%

Withdrawn 6%
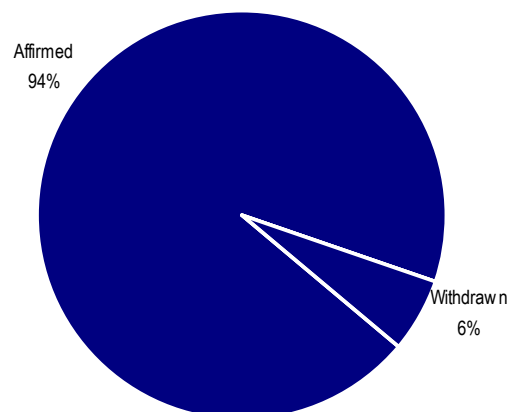
Total outcomes = 15
Time Period = July 2006 through June 2007

Personnel Resources Board Outcomes

Dismissed 18%

Withdrawn 36%

Affirmed 46%

Total outcomes = 6
Time Period = July 2006 through June 2007

Source: Dept of Personnel

Deploy Workforce

Outcomes

Staff know job expectations, how they're doing, & are supported.

Workplace is safe, gives capacity to perform, & fosters productive relations.

Employee time and talent is used effectively.

Employees are motivated.

Performance Measures

Percent employees with current performance expectations

Employee survey ratings on 'productive workplace' questions

Overtime usage

Sick leave usage

Non-disciplinary grievances/appeals filed and disposition outcomes

Worker Safety

Worker Safety: Department of Corrections

Analysis:

• Worker Safety is a major GMAP for the Department that has just begun establishing some aggressive steps in improving Worker Safety.

• Total claim parallels the trend line of total injuries resulting in only medical treatment. However, the trend line for injuries resulting in lost time and medical treatment is downward. In 2007, the occupational health program renewed emphasis on returning workers to work and the downward trend reflects those efforts.

Action Plan:

• Action planning for workers safety includes more integrated activities between safety officers and occupational nurse consultants.

• A September 2007 conference workgroup focused how coordination of responsibilities could potentially reduce accidents. Regular meetings will be scheduled at facilities to continue the momentum to institutionalize workers safety efforts and manage claims.

• Strategies include a new occupational health program website, posters, phone hotline for injured workers, and brochures.

• Review of reports generated is being conducted to focus on actions to reduce injuries and manage claims. Methods of measurement will be determined and subsequent baseline established to measure success of return to work efforts by facilities.
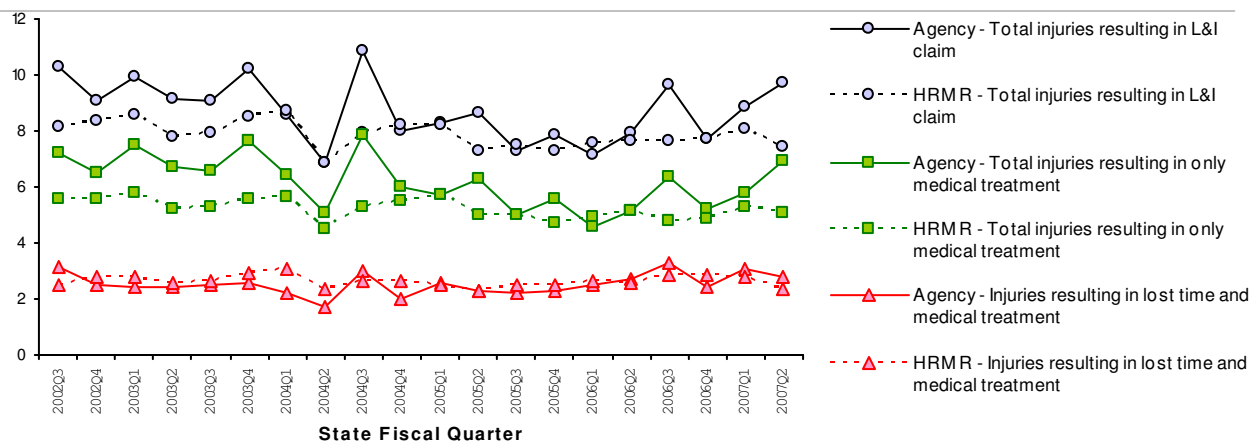
Allowed *Annual Claims Rate**^:
Agency vs. All HR Management Report (HRMR) agencies

*Annual claims rate is # claims / 100 FTE

1 FTE = 2000 hours

^Due to natural lag in claim filing, rates are expected to increase significantly over time

Legend:
— Agency - Total injuries resulting in L&I claim
--- HRMR - Total injuries resulting in L&I claim
— Agency - Total injuries resulting in only medical treatment
--- HRMR - Total injuries resulting in only medical treatment
— Agency - Injuries resulting in lost time and medical treatment
--- HRMR - Injuries resulting in lost time and medical treatment

State Fiscal Quarter

Injuries by *Occupational Injury and Illness Classification* (OIICS) event:
For fiscal period 2002Q3 through 2007Q2

(categories under 3% or not adequately coded are grouped into 'misc.')
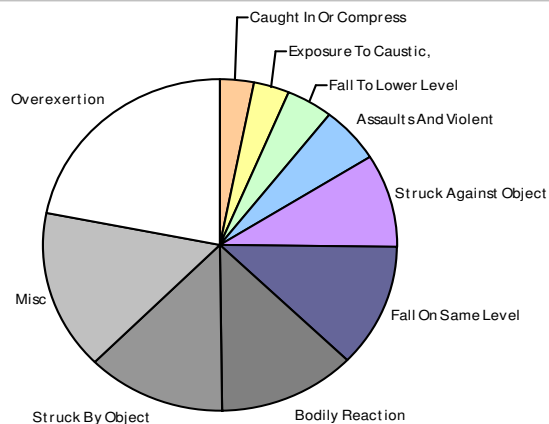
Oiics Code	Oiics Description	Percent	Number
61	Assaults And Violent	6%	225
21	Bodily Reaction	13%	490
03	Caught In Or Compress	3%	119
34	Exposure To Caustic,	3%	133
13	Fall On Same Level	12%	463
11	Fall To Lower Level	4%	153
-	Misc	16%	606
22	Overexertion	22%	851
01	Struck Against Object	9%	355
02	Struck By Object	13%	493

Source: Labor & Industries, Research and Data Services (data as of 09/03/2007)

Develop Workforce

Outcomes:

A learning environment is created. Employees are engaged in professional development and seek to learn. Employees have competencies needed for present job and future advancement.

Performance Measures

Percent employees with current individual development plans

Employee survey ratings on "learning & development" questions
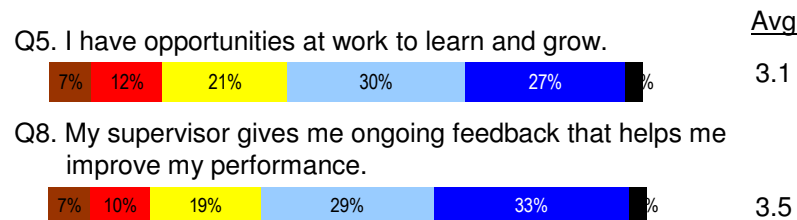
Competency gap analysis (TBD)

Individual Development Plans

> **Percent employees with current individual development plans = 75%**

*Based on **4487 of 5925** reported employee count
*Applies to employees in permanent positions, both WMS & GS

Employee Survey "Learning & Development" Ratings

Avg

Q5. I have opportunities at work to learn and grow.

| 7% | 12% | 21% | 30% | 27% | % |

3.1

Q8. My supervisor gives me ongoing feedback that helps me improve my performance.

| 7% | 10% | 19% | 29% | 33% | % |

3.5

[DOUBLE CLICK ON THE BAR CHARTS TO ENTER YOUR AGENCY'S DATA]

> **Overall avg score for Learning & Development Ratings: 3.3**

Analysis:

- Completion Rate of annual performance evaluations has increased in the last 6 months.

- DOC is committed to offering staff access to training internal and external to the agency

- DOC regularly encourages and pays for staff to attend professional conferences and training for growth and development.

- DOC offers a very competitive Tuition Reimbursement program so staff can continue to pursue educational professional goals.

- Struggling with implementation of HRMS data input fields for Parts 1 & 2 of PDP.

Action Steps:

- Continue to reinforce the expectation that all staff receive timely and meaningful performance evaluations

- Continue to update agency training programs.

- Continue to partner with higher education institutions to enhance staff training and increase educational opportunities.

- Policy revision will split Parts 1 & 2 of the PDP form (10/2007). Policy and new processes should be reviewed for implementation by Executive Leadership before December 2007. Policy implementation will help facilitate entry of Parts 1 & 2 of the PDP into HRMS system.

Data as of June 30, 2007
Source: HRMS BW / Agency Tracked Data

Reinforce Performance

Current Performance Evaluations

Outcomes:

Employees know how their performance contributes to the goals of the organization. Strong performance is rewarded; poor performance is eliminated. Successful performance is differentiated and strengthened. Employees are held accountable.

Performance Measures

Percent employees with current performance evaluations

Employee survey ratings on "performance and accountability" questions

Disciplinary actions and reasons, disciplinary grievances/appeals filed and disposition (outcomes)

Reward and recognition practices (TBD)

Percent employees with current performance evaluations = 75%*

*Based on **4487 of 5925** reported employee count
 *Applies to employees in permanent positions, both WMS & GS

Analysis:

▪ This is an increase of 20% over the last reporting period.

Action Steps:

▪ Continue efforts to meet 100% of evaluations due for the next reporting period.

Data as of June 30, 2007
Source: HRMS BW / Agency Tracked Data

Reinforce Performance

Outcomes:

Employees know how their performance contributes to the goals of the organization. Strong performance is rewarded; poor performance is eliminated. Successful performance is differentiated and strengthened. Employees are held accountable.
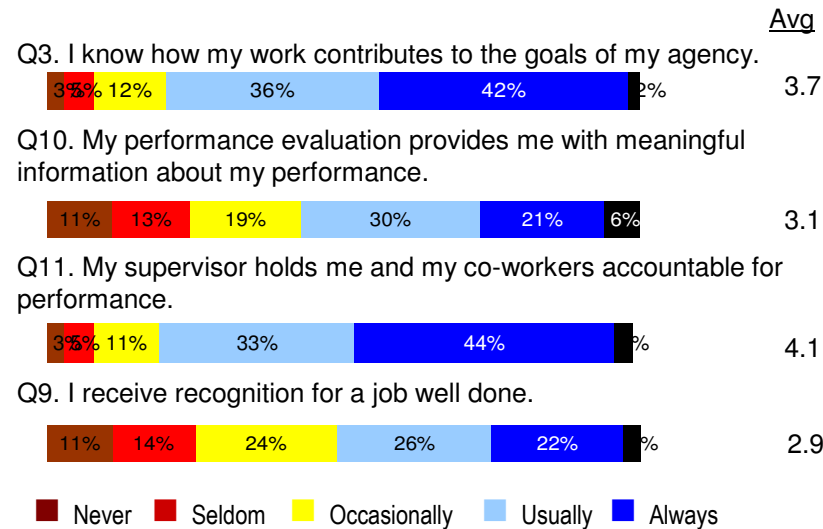
Performance Measures

Percent employees with current performance evaluations

Employee survey ratings on "performance and accountability" questions

Disciplinary actions and reasons, disciplinary grievances/appeals filed and disposition (outcomes)

Reward and recognition practices (TBD)

Employee Survey "Performance & Accountability" Ratings

Avg

Q3. I know how my work contributes to the goals of my agency.

| 3% | 5% | 12% | 36% | 42% | 2% |

3.7

Q10. My performance evaluation provides me with meaningful information about my performance.

| 11% | 13% | 19% | 30% | 21% | 6% |

3.1

Q11. My supervisor holds me and my co-workers accountable for performance.

| 3% | 5% | 11% | 33% | 44% | % |

4.1

Q9. I receive recognition for a job well done.

| 11% | 14% | 24% | 26% | 22% | % |

2.9

■ Never   ■ Seldom   ■ Occasionally   ■ Usually   ■ Always

[DOUBLE CLICK ON THE BAR CHARTS TO ENTER YOUR AGENCY'S DATA]

Overall average score for "Performance & Accountability" ratings: 3.5

Data as of June 30, 2007
Source: DOP Survey & Agency Tracked Data

Analysis:

- Secretary Clarke addressed all DOC staff in a letter dated October 11, 2006 which discussed the Department's accomplishments over the past year, identification of five strategic plan goals, and development of a new mission statement.

- Employees were informed that agency leadership would be meeting with staff to talk about the strategic plan and to discuss employee survey results.

- All GMAP forums and presentations are posted for all staff to access.

- Rate of timely completion of annual performance evaluations is increasing.

- Structured on-the-job training exists for newly hired correctional officers and their performance is assessed frequently with feedback provided immediately.

- Agency leaders and managers were encouraged to seek input from their staff on how each would like to be recognized for good work

Action Steps:

- Reinforce expectations to include positive recognition when merited in the PDP process.

- October survey rating results will form the basis for future action steps reported in April 2008 HR Management Report.

Reinforce Performance

Outcomes:

Employees know how their performance contributes to the goals of the organization. Strong performance is rewarded; poor performance is eliminated. Successful performance is differentiated and strengthened. Employees are held accountable.

Performance Measures

Percent employees with current performance evaluations

Employee survey ratings on "performance and accountability" questions

Disciplinary actions and reasons, disciplinary grievances/appeals filed and disposition (outcomes)

Reward and recognition practices (TBD)

Formal Disciplinary Actions

Disciplinary Action Taken

Time Period = July 2006 through June 2007

Dismissals	25
Demotions	6
Suspensions	6
Reduction in Pay*	21
Total Disciplinary Actions*	**58**

* Reduction in Pay is not currently available in HRMS/BW.

Leading Issues for Disciplinary Action

Off-Duty Conduct…………………………………..	6
Inappropriate Offender Contact…………………...	6
Abuse of Position……..…………………………....	4
Falsifying Documents……………….................	4
Improper Use of Technology………...…………...	4
Sleeping on Duty…………………………………..	3
Theft of State Property……………………………..	3
Verbal Abuse of Co-Worker………………………	3
Sexual Misconduct………………………………..	3

Data as of June 30, 2007

Source: DOP & Agency Tracked Data

Analysis:

- Out of 60 disciplinary grievances filed → 33 were settled, 10 were withdrawn or not advanced by the Union, 15 are pending arbitration or are at another step in the disciplinary grievance process and for 6 there have been arbitration decisions rendered.

- Of those 33 settled → 18 were settled at or before the 1st Level Hearing, 9 at the PARM, and 6 by the AGs prior to the Arbitration Hearing.

- 51% of the settlements that occurred between July 1, 2005, and June 30, 2007, resulted in the Department's ability to meet its needs regarding the disciplinary action taken – either in the form of a resignation or by establishing a record with a reduced penalty, and was able to avoid risk and the expenditure of resources on an arbitration.

- The other 49% of the settlements that occurred between July 1, 2005, and June 30, 2007, were due to miscellaneous reasons (as individually noted in the Why/Issues portion of the table) associated with the inability to meet one or more elements of Just Cause requirements (i.e. – adequate proof, appropriate penalty, progression, etc.).

Action Steps:

- Data will continue to be reviewed by location for further analysis and to help determine whether prevailing trends exist (e.g. the whys; by class, location, ethnicity, who, etc.) by 12/07.

- HR will share this data with agency divisions to discuss the current process, and make any needed changes in order to improve disciplinary decisions/actions.

- HR will partner with AGO to deliver Just Cause training to 125 Community Corrections supervisory staff (Oct 26, 2007). Training will better define agency process and parameters, with streamlined process as the desired outcome.

Reinforce Performance

Outcomes:

Employees know how their performance contributes to the goals of the organization. Strong performance is rewarded; poor performance is eliminated. Successful performance is differentiated and strengthened. Employees are held accountable.
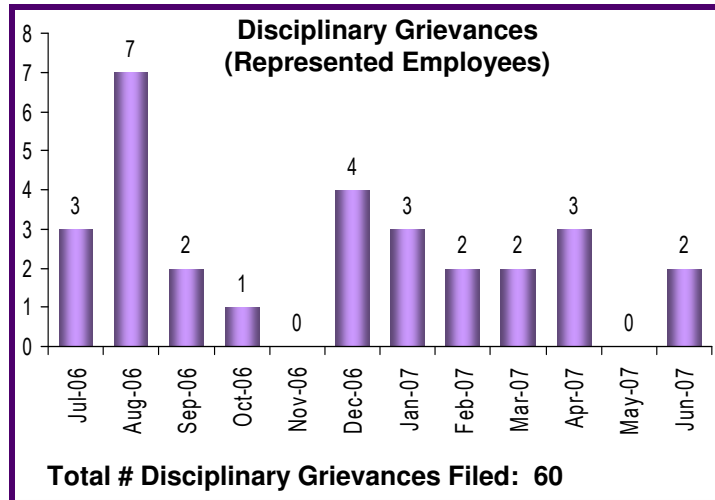
Performance Measures

Percent employees with current performance evaluations

Employee survey ratings on "performance and accountability" questions

Disciplinary actions and reasons, disciplinary grievances/appeals filed and disposition (outcomes)

Reward and recognition practices (TBD)

Disciplinary Grievances and Appeals

Disciplinary Grievances (Represented Employees)

Month	Value
Jul-06	3
Aug-06	7
Sep-06	2
Oct-06	1
Nov-06	0
Dec-06	4
Jan-07	3
Feb-07	2
Mar-07	2
Apr-07	3
May-07	0
Jun-07	2

Total # Disciplinary Grievances Filed: 60

Disciplinary Appeals (Non-Represented Employees filed with Personnel Resources Board)

Time Period = July 2006 through June 2007

2 Dismissal

1 Demotion

2 Suspension

0 Reduction in salary

5 Total Disciplinary Appeals Filed with PRB

There is no one-to-one correlation between the filings shown above and the outcomes displayed in the charts below. The time lag between filing date and when a decision is rendered can cross the time periods indicated.

Disposition (Outcomes) of Disciplinary Grievances

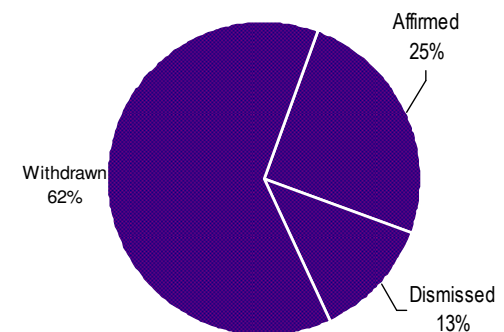Time Period = July 2006 through June 2007

Pending Arbitration……………………………..	5
Pending Step 2………………….……………	3
Pending PARM………………………………	4
Pending Step 1 Response……………………	9
Settled…………………………………………	18
Withdrawn……………………………………...	10
Overturned……………………………………	2
Upheld………………………………………..	1

Disposition (Outcomes) of Disciplinary Appeals*

Time Period = July 2006 through June 2007

Affirmed 25%

Withdrawn 62%

Dismissed 13%

*Outcomes issued by Personnel Resources Board

Data as of June 30, 2007

Source: DOP & Agency Tracked Data

ULTIMATE OUTCOMES

Employees are committed to the work they do and the goals of the organization

Successful, productive employees are retained

The state has the workforce breadth and depth needed for present and future success

Performance Measures

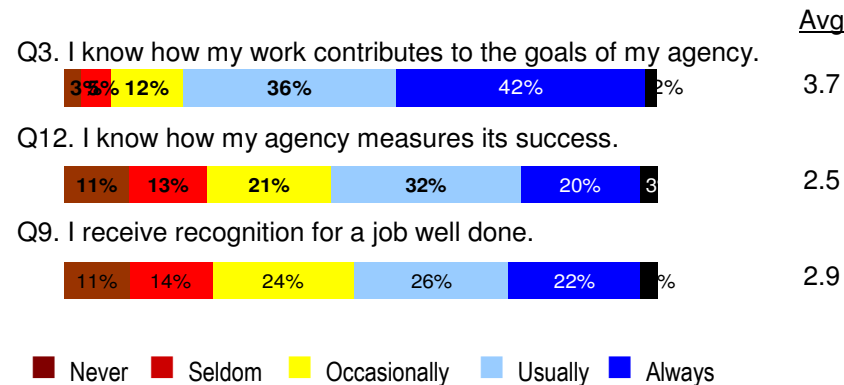**Employee survey ratings on "commitment" questions**

Turnover rates and types

Turnover rate: key occupational categories

Workforce diversity profile

Retention measure (TBD)

Employee Survey "Employee Commitment" Ratings

Avg

Q3. I know how my work contributes to the goals of my agency.

| 3% | 5% | 12% | 36% | 42% | 2% |

3.7

Q12. I know how my agency measures its success.

| 11% | 13% | 21% | 32% | 20% | 3 |

2.5

Q9. I receive recognition for a job well done.

| 11% | 14% | 24% | 26% | 22% | % |

2.9

■ Never   ■ Seldom   ■ Occasionally   ■ Usually   ■ Always

[DOUBLE CLICK ON THE BAR CHARTS TO ENTER YOUR AGENCY'S DATA]

Overall average score for Employee Commitment ratings: 3.1

Analysis:

- All GMAP forums and presentations are posted for all staff to access.

- Periodic video messages from the Secretary have been utilized to convey information to all staff regarding agency initiatives and results.

- Agency leaders led presentations to their management teams on the agency strategic goals and measures.

- Agency leaders and managers were encouraged to seek input from their staff on how each would like to be recognized for good work.

Action Steps:

- Continue to involve staff from all levels in agency GMAP activities to increase opportunities for input and understanding.

- Continue to post all GMAP forums and results so all staff have access.

- Continue to utilize periodic video messages addressed to all staff from the Secretary and other agency leaders.

Data as of June 30, 2007

Source: DOP & Agency Tracked Data

ULTIMATE OUTCOMES

Employees are committed to the work they do and the goals of the organization

Successful, productive employees are retained

The state has the workforce breadth and depth needed for present and future success

Performance Measures
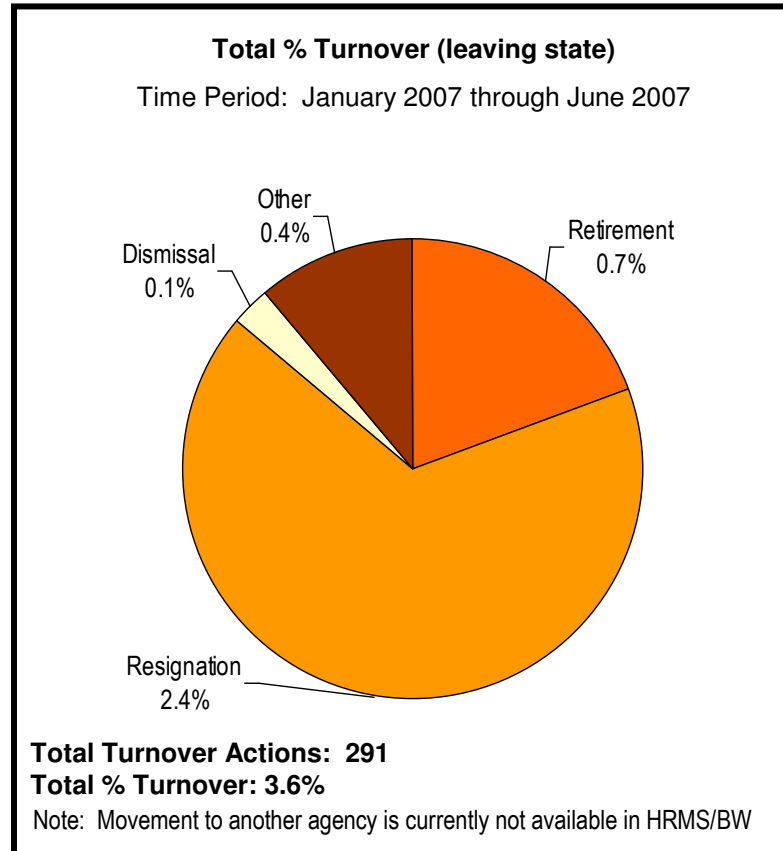
Employee survey ratings on "commitment" questions

Turnover rates and types

Turnover rate: key occupational categories

Workforce diversity profile

Retention measure (TBD)

Turnover Rates

Total % Turnover (leaving state)

Time Period: January 2007 through June 2007

Other
0.4%

Dismissal
0.1%

Retirement
0.7%

Resignation
2.4%

Total Turnover Actions: 291
Total % Turnover: 3.6%
Note: Movement to another agency is currently not available in HRMS/BW

Data as of June 30, 2007

Source: HRMS BW & Agency Tracked Data

Analysis:

- DOC has consistently maintained a department-wide turnover of approximately 11.4%.

- Total turnover actions of those employees departing state employment from DOC have decreased 12% from the last reporting period.

- Correctional Officers represents the most critical turnover out of all DOC classes. As we continue to monitor and come up with creative recruitment and retention strategies, DOC also continues to monitor Medical and other essential positions.

- DOC exit interview efforts for Correctional Officers has helped DOC analyze the issues around custody turnover.

- DOC continues to plan to add approximately 469 positions by fiscal year 2009.

Action Steps:

- DOC will develop internal focus groups, which will study the reasons tenured employees stay employed. The result will help the department strengthen its Recruitment and Retention plan.

- Enhanced recruitment activities should produce an improvement in vacancy rates and overall turnover.

- Expansion is a contributing factor to the numbers of staff needed in custody, and we expect hiring to de-escalate once these activities are completed at WSP and CRCC.

- Improvements in pay for specific job classifications are expected to have a significant impact on both recruitment and retention.

ULTIMATE OUTCOMES

Employees are committed to the work they do and the goals of the organization

Successful, productive employees are retained

The state has the workforce breadth and depth needed for present and future success

Performance Measures

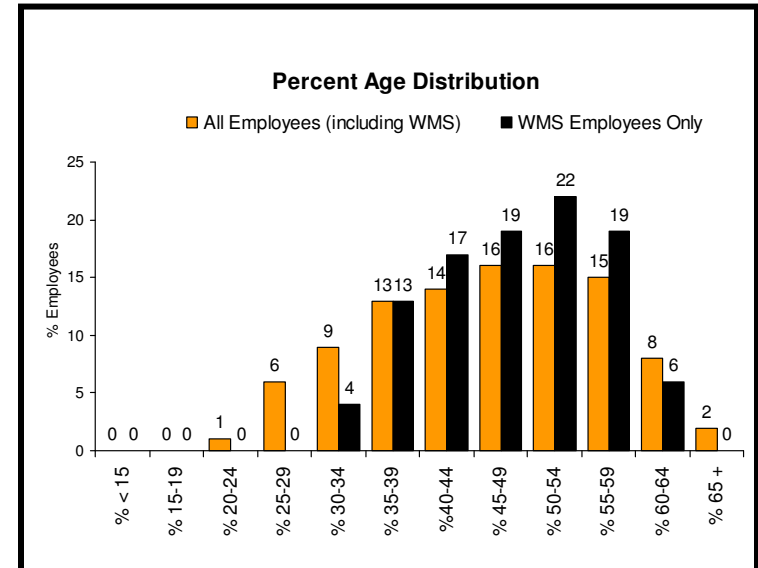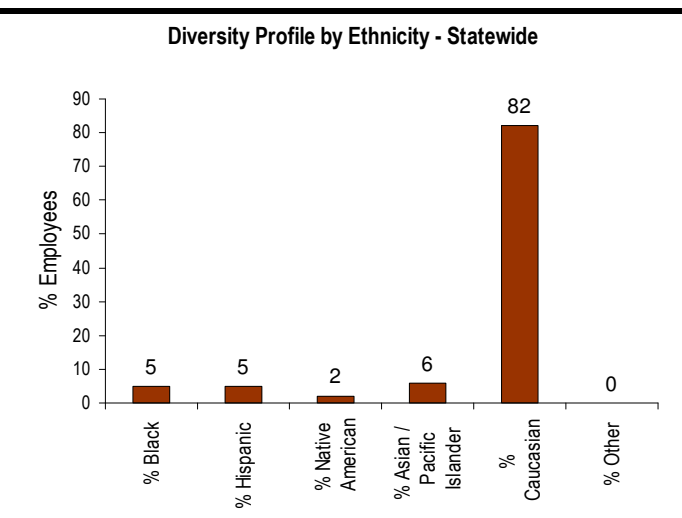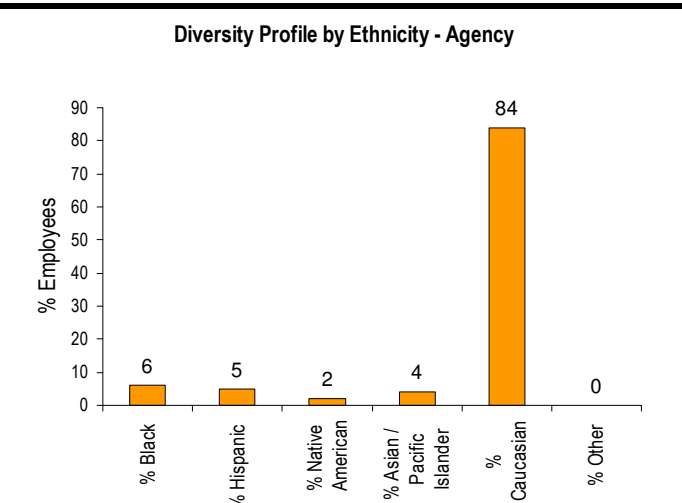Employee survey ratings on "commitment" questions

Turnover rates and types

Turnover rate: key occupational categories

Workforce diversity profile

Retention measure (TBD)

Workforce Diversity Profile

	Agency	State
Female	37%	53%
Disabled	4%	5%
Vietnam Vet	9%	7%
Disabled Vet	6%	2%
People of color	17%	18%
Persons over 40	70%	75%

Diversity Profile by Ethnicity - Agency

% Employees

% Black	% Hispanic	% Native American	% Asian / Pacific Islander	% Caucasian	% Other
6	5	2	4	84	0

Diversity Profile by Ethnicity - Statewide

% Employees

% Black	% Hispanic	% Native American	% Asian / Pacific Islander	% Caucasian	% Other
5	5	2	6	82	0

Percent Age Distribution

■ All Employees (including WMS) ■ WMS Employees Only

% Employees

Age	All Employees	WMS Only
% < 15	0	0
% 15-19	0	0
% 20-24	1	0
% 25-29	6	0
% 30-34	9	4
% 35-39	13	13
% 40-44	14	17
% 45-49	16	19
% 50-54	16	22
% 55-59	15	19
% 60-64	8	6
% 65 +	2	0

Analysis:

- DOC is below the statewide profile for women and persons with disabilities, but employs a greater number of disabled veterans than the rest of the state.

- At the executive level (Assistant Deputies and above), the percentage of people of color is 36% and women comprise 47%.

- HR has increased the number of Certified Diversity Trainers to facilitate Respect in the Workplace training throughout the entire state.

Action Steps:

- Set goals and/or develop recruitment plans around data.

- Track how many employees received Respect in the Workplace training.

Data as of June 30, 2007
Source: HRMS Business Warehouse